



|  |                                      |
|--|--------------------------------------|
| PTO/SB/08A (Substitute for form 1449/PTO)            | Attorney Docket No.: 004-9159        |
|  | Application No.: 10/840,164          |
| <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> | First Named Inventor: Nicolai Kosche |
| (Continuation Sheet)                                 | Filing Date: May 6, 2004             |
|  | Group Art Unit: 2192                 |
|  | Examiner Name: Dam, Tuan Quang       |
| Sheet 4 of 5   | Date Submitted: March 14, 2006       |

| NON PATENT LITERATURE DOCUMENTS        |                       |  |                |
|--|-----------------------|--|----------------|
| Examiner Initials*                     | Cite No. <sup>1</sup> | Include name of author (in CAPITAL LETTERS), title of article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  | T <sup>2</sup> |
| <i>ST</i>                              | AA                    | ALPERN, B. et al., "The Jalapeno Virtual Machine," <i>IBM Systems Journal</i> , Vol. 39, No. 1, 2000, pages 211-238.   |                |
| <i>ST</i>                              | AB                    | ANDERSON, Jennifer et al., "Continuous Profiling (It's 10:43; Do You Know Where Your Cycles Are?)," abstract for presentation at HOT Chips 9, Stanford, CA, August 1997, 2 pages, retrieved from the Internet at URL <a href="http://h30097.www3.hp.com/dcp/publications.htm">http://h30097.www3.hp.com/dcp/publications.htm</a> . |                |
| <i>ST</i>                              | AC                    | ANDERSON, Jennifer et al., "Instruction-Level Profiling on In-Order and Out-of-Order Processors," DEC presentation by Jeff Dean at Duke University, December 3, 1997, 42 pages, retrieved from the Internet at URL <a href="http://h30097.www3.hp.com/dcp/publications.htm">http://h30097.www3.hp.com/dcp/publications.htm</a> .   |                |
| <i>ST</i>                              | AD                    | ANDERSON, Jennifer et al., "Continuous Profiling: An Electron Microscope for Your Computer," presentation by Mark Vandevoorde to Silicon Valley summer interns, Palo Alto, CA, August 13, 1999, 18 pages.  |                |
| <i>ST</i>                              | AE                    | ARMSTRONG, Eric, "HotSpot: A new breed of virtual machine," <i>Java World</i> , March 1998, 11 pages, retrieved from the Internet at URL <a href="http://www.javaworld.com">http://www.javaworld.com</a> .   |                |
| <i>ST</i>                              | AF                    | BERRENDORF, Rudolf and ZIEGLER, Heinz, "PCL - The Performance Counter Library: A Common Interface to Access Hardware Performance Counters on Microprocessors (Version 1.2)," Technical Report FZJ-ZAM-IB-9816, Julich, Germany, October 1998, pages 1-50.  |                |
| <i>ST</i>                              | AG                    | BERC, Lance and VANDEVOORDE, Mark, "Hardware Support for Out-of-Order Instruction Profiling on Alpha 21264a," <i>HotChips 11</i> , (Power Point) Stanford, CA, USA, August 17, 1999, 21 pages.   |                |
| <i>ST</i>                              | AH                    | BROWNE, Shirley et al., "A Scalable Cross-Platform Infrastructure for Application Performance Tuning Using Hardware Counters," <i>Proceedings of SC2000</i> , Dallas, TX, November 2000, 10 pages.   |                |
| <i>ST</i>                              | AI                    | BURROWS, Mike et al., "Efficient and Flexible Value Sampling," <i>Architectural Support for Programming Languages and Operating Systems (ASPLOS-IX)</i> , Nov. 1--3 2000, pages 1-19.  |                |
| <i>ST</i>                              | AJ                    | CHILIMBI, Trishul M. et al., "Cache-Conscious Structure Layout," <i>Proceedings of the ACM SIGPLAN '99 Conf. on Programming Language Design and Implementation</i> , May 1999, 12 pages.   |                |
| <i>ST</i>                              | AK                    | CHILIMBI, Trishul J., et al., "Cache-Conscious Structure Definition," <i>Proceedings of the ACM SIGPLAN '99 Conf. on Programming Language Design and Implementation</i> , May 1999, 12 pages.  |                |
| <i>ST</i>                              | AL                    | DEROSE, Luiz et al., "SIGMA: A Simulator Infrastructure to Guide Memory Analysis," <i>Conf. on High Performance Networking and Computing Proceedings of the 2002 ACM/IEEE Conf. on Supercomputing</i> , Baltimore, MD, 2002, 13 pages.   |                |
| <i>ST</i>                              | AM                    | ITZKOWITZ, Marty et al., "Memory Profiling Using Hardware Counters," in <i>Conf. on High Performance Networking and Computing Proceedings of the 2003 ACM/IEEE Conf. on Supercomputing</i> , Phoenix, AZ, November 15-21, 2003, pages 1-12.  |                |
| <i>ST</i>                              | AN                    | LEBECK, Alvin R., "Cache Conscious Programming in Undergraduate Computer Science," <i>ACM SIGCSE Technical Symposium on Computer Science Education (SIGCSE '99)</i> , <i>Proceedings of the 30th SIGCSE Tech Symposium on Comp. Sci. Edu.</i> , New Orleans, LA, USA, March 24-28, 1999, 5 pages.                                  |                |
| Examiner Signature: <i>[Signature]</i> |                       | Date Considered: <i>05/07/07</i>   |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional).

<sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

|   |                                      |
|---|--------------------------------------|
| PTO/SB/08A (Substitute for form 1449/PTO)     | Attorney Docket No.: 004-9159        |
|   | Application No.: 10/840,164          |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | First Named Inventor: Nicolai Kosche |
| (Continuation Sheet)                          | Filing Date: May 6, 2004             |
|   | Group Art Unit: 2192                 |
|   | Examiner Name: Dam, Tuan Quang       |
| Sheet 2 of 5                                  | Date Submitted: March 14, 2006       |

| U.S. PATENT DOCUMENTS    |                       |   |                             |   |   |                |
|--------------------------|-----------------------|---|-----------------------------|---|---|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Document Number Number-Kind Code <sup>2</sup> (if known)  | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |                |
| JS                       | AA                    | 6,671,878   | 12-30-2003                  | Bliss   |   |                |
| JS                       | AB                    | 6,675,374   | 01-06-2004                  | Pieper et al.                                   |   |                |
| JS                       | AC                    | 6,675,380   | 01-06-2004                  | McKinsey et al.                                 |   |                |
| JS                       | AD                    | 6,678,796   | 01-13-2004                  | Kosche et al.                                   |   |                |
| JS                       | AE                    | 6,681,317   | 01-20-2004                  | Mathews   |   |                |
| JS                       | AF                    | 6,697,932   | 02-24-2004                  | Yoaz et al.                                     |   |                |
| JS                       | AG                    | 6,748,589   | 06-08-2004                  | Johnson et al.                                  |   |                |
| JS                       | AH                    | 6,785,796   | 08-31-2004                  | Damron et al.                                   |   |                |
| JS                       | AI                    | 6,880,073   | 04-12-2005                  | Arimilli et al.                                 |   |                |
| JS                       | AJ                    | 6,918,111   | 07-12-2005                  | Damron et al.                                   |   |                |
|                          |                       |   |                             |   |   |                |
|                          |                       |   |                             |   |   |                |
|                          |                       |   |                             |   |   |                |
|                          |                       |   |                             |   |   |                |
| FOREIGN PATENT DOCUMENTS |                       |   |                             |   |   |                |
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |
|                          |                       |   |                             |   |   |                |
|                          |                       |   |                             |   |   |                |
|                          |                       |   |                             |   |   |                |
|                          |                       |   |                             |   |   |                |
| Examiner Signature       |                       |   |                             | Date Considered                                 | 05/21/07  |                |

|  |                                      |
|--|--------------------------------------|
| PTO/SB/08A (Substitute for form 1449/PTO)            | Attorney Docket No.: 004-9159        |
|  | Application No.: 10/840,164          |
| <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> | First Named Inventor: Nicolai Kosche |
|  | Filing Date: May 6, 2004             |
|  | Group Art Unit: 2192                 |
|  | Examiner Name: Dam, Tuan Quang       |
|  | Date Submitted: March 14, 2006       |

Sheet 1 of 5

**U.S. PATENT & TRADEMARK OFFICE**  
MAR 17 2006

| U.S. PATENT DOCUMENTS    |                       |   |                             |   |   |                |
|--------------------------|-----------------------|---|-----------------------------|---|---|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Document Number Number-Kind Code <sup>2</sup> (if known)  | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |                |
| J.T.                     | AA                    | 5,526,499   | 06-11-1996                  | Bernstein et al.                                |   |                |
| J.T.                     | AB                    | 5,948,095   | 09-07-1999                  | Arora et al.                                    |   |                |
| J.T.                     | AC                    | 5,964,867   | 10-12-1999                  | Anderson et al.                                 |   |                |
| J.T.                     | AE                    | 6,092,180   | 07-18-2000                  | Anderson et al.                                 |   |                |
| J.T.                     | AF                    | 6,098,166   | 08-01-2000                  | Liebholz et al.                                 |   |                |
| J.T.                     | AG                    | 6,289,506   | 09-11-2001                  | Kwong et al.                                    |   |                |
| J.T.                     | AH                    | 6,308,261   | 10-23-2001                  | Morris et al.                                   |   |                |
| J.T.                     | AI                    | 6,314,431   | 11-06-2001                  | Gornish   |   |                |
| J.T.                     | AJ                    | 6,567,975   | 05-20-2003                  | Damron  |   |                |
| J.T.                     | AK                    | 6,574,713   | 06-03-2003                  | Kosche et al.                                   |   |                |
| J.T.                     | AL                    | 6,625,660   | 09-23-2003                  | Guthrie et al.                                  |   |                |
| J.T.                     | AM                    | 6,651,245   | 11-18-2003                  | Damron et al.                                   |   |                |
| FOREIGN PATENT DOCUMENTS |                       |   |                             |   |   |                |
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |
| J.T.                     | AN                    | WO 01/44927 A2  | 06-21-2001                  | Kosche et al.                                   |   |                |
|                          |                       |   |                             |   |   |                |
|                          |                       |   |                             |   |   |                |
|                          |                       |   |                             |   |   |                |
| Examiner Signature       |                       |   |                             | Date Considered                                 | 05/01/2007  |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional).

<sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3)

<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

<sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

|  |                                      |
|--|--------------------------------------|
| PTO/SB/08A (Substitute for form 1449/PTO)            | Attorney Docket No.: 004-9159        |
|  | Application No.: 10/840,164          |
| <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> | First Named Inventor: Nicolai Kosche |
| (Continuation Sheet)                                 | Filing Date: May 6, 2004             |
|  | Group Art Unit: 2192                 |
|  | Examiner Name: Dam, Tuan Quang       |
| Sheet 5 of 5   | Date Submitted: March 14, 2006       |

| NON PATENT LITERATURE DOCUMENTS |                       |  |                |
|---------------------------------|-----------------------|--|----------------|
| Examiner Initials*              | Cite No. <sup>1</sup> | Include name of author (in CAPITAL LETTERS), title of article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  | T <sup>2</sup> |
| FT                              | AA                    | LIPASTI, Mikko H. et al., "SPAD: Software Prefetching in Pointer- and Call-Intensive Environments," <i>Micro 28 Proceedings of the 28th Annual International Symposium on Microarchitecture</i> , Nov. 29-Dec. 1, 1995, Ann Arbor, MI, 6 pages.  |                |
| FT                              | AB                    | LUK, Chi-Keung and MOWRY, Todd, "Compiler-Based Prefetching for Recursive Data Structures," <i>APLOS-VII, Proceedings of the Seventh International Conf. on Architectural Support for Programming Languages and Operating Systems</i> , Cambridge, MA, Oct. 1-5, 1996, 12 pages.   |                |
| FT                              | AC                    | MARTONOSI, Margaret et al., "MemSpy: Analyzing Memory System Bottlenecks in Programs," <i>Proceedings of the 1992 ACM SIGMETRICS Joint Int'l. Conf. on Measurement and Modeling of Computer Systems</i> , Newport, RI, USA, June 1-5, 1992, pages 1-12.  |                |
| FT                              | AD                    | MOWRY, Todd C. et al., "Design and Evaluation of a Compiler Algorithm for Prefetching," <i>ASPLOS-V, Proceedings of the Fifth International Conf. on Architectural Support for Programming Languages and Operating Systems</i> , Boston, MA, USA, Oct. 12-15, 1992, pages 62-73.   |                |
| FT                              | AE                    | RUBIN, Shai et al., "An Efficient Profile-Analysis Framework for Data-Layout Optimizations," <i>Proceedings of the 29th ACM SIGPLAN-SIGACT Symposium on Principles of Programming Languages</i> , Portland, OR USA, Jan. 16-18, 2002, 14 pages.  |                |
| FT                              | AF                    | SPRUNT, Brinkley, "The Performance Monitoring Features of the Pentium 4 Processor," <i>IEEE Micro</i> , Vol. 22, No. 4, July 2002, pages 32-42.  |                |
| FT                              | AG                    | SRIDHARAN, K., "VTune: Intel's Visual Tuning Environment," <i>Proceedings of USENIX-NT Windows NT Workshop</i> , August 11, 1997, Seattle, CA, USA, retrieved from the Internet at URL <a href="http://www.usenix.org/publications/library/proceedings/usenix-nt97/presentations/sridhar.html">http://www.usenix.org/publications/library/proceedings/usenix-nt97/presentations/sridhar.html</a> , 24 pages. |                |
| FT                              | AH                    | "Program Performance Analysis Tools," Sun Microsystems, Inc. Publication 817-0922-10, May 2003, retrieved from the Internet at URL <a href="http://docs.sun.com/source/817-0922/">http://docs.sun.com/source/817-0922/</a> , 244 pages.  |                |
| FT                              | AI                    | VENNERS, Bill, "The HotSpot Virtual Machine, How HotSpot Can Improve Java Program Performance and Designs," <i>Artima Developer</i> , May 1998, 7 pages, retrieved from the Internet at URL <a href="http://www.artima.com">http://www.artima.com</a> .  |                |
| FT                              | AJ                    | WALKER, Kip et al., "Using Interpretation for Profiling the Alpha 21264a," (Power Point) presented at Carnegie Mellon University, October 1999, 29 pages.  |                |
| FT                              | AK                    | WEIHL, William E., "Digital Continuous Profiling Infrastructure," June 2004, 3 pages, retrieved from the Internet at URL <a href="http://www.research.digital.com/SRC/dcp/html">http://www.research.digital.com/SRC/dcp/html</a> .   |                |
| FT                              | AL                    | "The Java HotSpot Performance Engine Architecture," <i>Digital Forefront Magazine</i> , Winter 1997, pages 27-28, retrieved from the Internet at URL <a href="http://java.sun.com/products/whitepaper.html">http://java.sun.com/products/whitepaper.html</a> .   |                |
|                                 |                       |  |                |
|                                 |                       |  |                |
| Examiner Signature              |                       | Date Considered  | 05/01/07       |